

CIVIL COVER SHEET

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

PLAINTIFFS  
Alan D. Sugarman

DEFENDANTS  
Morgan Stanley & Co.  
AON Corporation, John Doe Corporation d/b/a AON Hewitt, UnitedHealth  
Group Incorporated, John Doe Corporation Two d/b/a UnitedHealthCare

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)  
Alan D. Sugarman, Esq.  
Attorney At Law  
17 West 70th Street  
New York, NY 10023

ATTORNEYS (IF KNOWN)

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)  
(DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

ERISA claim for denial of benefits.

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? No ☒ Yes ☐ Judge Previously Assigned

If yes, was this case Vol. ☐ Invol. ☐ Dismissed. No ☐ Yes ☐ If yes, give date \_\_\_\_\_ & Case No. \_\_\_\_\_

IS THIS AN INTERNATIONAL ARBITRATION CASE? No ☒ Yes ☐

(PLACE AN [x] IN ONE BOX ONLY)

NATURE OF SUIT

TORTS		ACTIONS UNDER STATUTES			
<b>CONTRACT</b>	<b>PERSONAL INJURY</b>	<b>PERSONAL INJURY</b>	<b>FORFEITURE/PENALTY</b>	<b>BANKRUPTCY</b>	<b>OTHER STATUTES</b>
[ ] 110 INSURANCE	[ ] 310 AIRPLANE	[ ] 367 HEALTHCARE/	[ ] 625 DRUG RELATED	[ ] 422 APPEAL	[ ] 375 FALSE CLAIMS
[ ] 120 MARINE	[ ] 315 AIRPLANE PRODUCT	PHARMACEUTICAL PERSONAL	INJURY/PRODUCT LIABILITY	28 USC 158	[ ] 400 STATE
[ ] 130 MILLER ACT	LIABILITY	[ ] 365 PERSONAL INJURY	SEIZURE OF PROPERTY	[ ] 423 WITHDRAWAL	REAPPORTIONMENT
[ ] 140 NEGOTIABLE	[ ] 320 ASSAULT, LIBEL &	PRODUCT LIABILITY	21 USC 881	28 USC 157	[ ] 410 ANTITRUST
INSTRUMENT	SLANDER	[ ] 368 ASBESTOS PERSONAL	[ ] 690 OTHER		[ ] 430 BANKS & BANKING
[ ] 150 RECOVERY OF	[ ] 330 FEDERAL	INJURY PRODUCT			[ ] 450 COMMERCE
OVERPAYMENT &	EMPLOYERS'	LIABILITY			[ ] 460 DEPORTATION
ENFORCEMENT	LIABILITY			<b>PROPERTY RIGHTS</b>	[ ] 470 RACKETEER INFLU-
OF JUDGMENT	[ ] 340 MARINE	<b>PERSONAL PROPERTY</b>		[ ] 820 COPYRIGHTS	ENCED & CORRUPT
MEDICARE ACT	[ ] 345 MARINE PRODUCT	[ ] 370 OTHER FRAUD		[ ] 830 PATENT	ORGANIZATION ACT
[ ] 152 RECOVERY OF	LIABILITY	[ ] 371 TRUTH IN LENDING		[ ] 840 TRADEMARK	(RICO)
DEFAULTED	[ ] 350 MOTOR VEHICLE				[ ] 480 CONSUMER CREDIT
STUDENT LOANS	[ ] 355 MOTOR VEHICLE			<b>SOCIAL SECURITY</b>	[ ] 490 CABLE/SATELLITE TV
(EXCL VETERANS)	PRODUCT LIABILITY				
RECOVERY OF	[ ] 360 OTHER PERSONAL	[ ] 380 OTHER PERSONAL	<b>LABOR</b>	[ ] 861 HIA (1395f)	[ ] 850 SECURITIES/
OVERPAYMENT	INJURY	PROPERTY DAMAGE	[ ] 710 FAIR LABOR	[ ] 862 BLACK LUNG (923)	COMMODITIES/
OF VETERAN'S	[ ] 362 PERSONAL INJURY -	[ ] 385 PROPERTY DAMAGE	STANDARDS ACT	[ ] 863 DIWC/DIWW (405(g))	EXCHANGE
BENEFITS	MED MALPRACTICE	PRODUCT LIABILITY	[ ] 720 LABOR/MGMT	[ ] 864 SSID TITLE XVI	
[ ] 160 STOCKHOLDERS			RELATIONS	[ ] 865 RSI (405(g))	[ ] 890 OTHER STATUTORY
SUITS		<b>PRISONER PETITIONS</b>	[ ] 740 RAILWAY LABOR ACT		ACTIONS
[ ] 190 OTHER		[ ] 463 ALIEN DETAINEE	[ ] 751 FAMILY MEDICAL	<b>FEDERAL TAX SUITS</b>	[ ] 891 AGRICULTURAL ACTS
CONTRACT		[ ] 510 MOTIONS TO	LEAVE ACT (FMLA)		
[ ] 195 CONTRACT		VACATE SENTENCE	[ ] 790 OTHER LABOR	[ ] 870 TAXES (U.S. Plaintiff or	[ ] 893 ENVIRONMENTAL
PRODUCT	<b>ACTIONS UNDER STATUTES</b>	28 USC 2255	LITIGATION	Defendant)	MATTERS
LIABILITY	<b>CIVIL RIGHTS</b>	[ ] 530 HABEAS CORPUS	[ ] 791 EMPL RET INC	[ ] 871 IRS-THIRD PARTY	[ ] 895 FREEDOM OF
[ ] 196 FRANCHISE		[ ] 535 DEATH PENALTY	SECURITY ACT	26 USC 7609	INFORMATION ACT
	[ ] 440 OTHER CIVIL RIGHTS	[ ] 540 MANDAMUS & OTHER			[ ] 896 ARBITRATION
	(Non-Prisoner)		<b>IMMIGRATION</b>		[ ] 899 ADMINISTRATIVE
<b>REAL PROPERTY</b>	[ ] 441 VOTING	<b>PRISONER CIVIL RIGHTS</b>	[ ] 462 NATURALIZATION		PROCEDURE ACT/REVIEW OR
[ ] 210 LAND	[ ] 442 EMPLOYMENT	[ ] 550 CIVIL RIGHTS	APPLICATION		APPEAL OF AGENCY DECISION
CONDEMNATION	[ ] 443 HOUSING/	[ ] 555 PRISON CONDITION	[ ] 465 OTHER IMMIGRATION		
[ ] 220 FORECLOSURE	ACCOMMODATIONS	[ ] 560 CIVIL DETAINEE	ACTIONS		[ ] 950 CONSTITUTIONALITY OF
[ ] 230 RENT LEASE &	[ ] 445 AMERICANS WITH	CONDITIONS OF CONFINEMENT			STATE STATUTES
EJECTMENT	DISABILITIES -				
[ ] 240 TORTS TO LAND	EMPLOYMENT				
[ ] 245 TORT PRODUCT	[ ] 446 AMERICANS WITH				
LIABILITY	DISABILITIES -OTHER				
[ ] 290 ALL OTHER	[ ] 448 EDUCATION				
REAL PROPERTY					

Check if demanded in complaint:

☐ CHECK IF THIS IS A CLASS ACTION  
UNDER F.R.C.P. 23

DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y.?  
IF SO, STATE:

DEMAND \$10,000 OTHER Injunction JUDGE \_\_\_\_\_ DOCKET NUMBER \_\_\_\_\_

Check YES only if demanded in complaint

JURY DEMAND: ☒ YES ☐ NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN x IN ONE BOX ONLY)

## ORIGIN

- ☒ 1 Original Proceeding    ☐ 2 Removed from State Court    ☐ 3 Remanded from Appellate Court    ☐ 4 Reinstated or Reopened    ☐ 5 Transferred from (Specify District)    ☐ 6 Multidistrict Litigation    ☐ 7 Appeal to District Judge from Magistrate Judge Judgment
- ☐ a. all parties represented.    ☐ b. At least one party is pro se.

(PLACE AN x IN ONE BOX ONLY)

## BASIS OF JURISDICTION

- ☐ 1 U.S. PLAINTIFF    ☐ 2 U.S. DEFENDANT    ☒ 3 FEDERAL QUESTION (U.S. NOT A PARTY)    ☐ 4 DIVERSITY

IF DIVERSITY, INDICATE CITIZENSHIP BELOW.

## CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)

(Place an [X] in one box for Plaintiff and one box for Defendant)

CITIZEN OF THIS STATE	PTF DEF	<input checked="" type="checkbox"/> 1 <input type="checkbox"/> 1	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF DEF	<input type="checkbox"/> 3 <input type="checkbox"/> 3	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF DEF	<input type="checkbox"/> 5 <input type="checkbox"/> 5
CITIZEN OF ANOTHER STATE	<input type="checkbox"/> 2 <input type="checkbox"/> 2	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	<input type="checkbox"/> 4 <input checked="" type="checkbox"/> 4	FOREIGN NATION	<input type="checkbox"/> 6 <input type="checkbox"/> 6			

## PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)

Alan D. Sugarman, 17 W. 70 St., New York, NY (New York County)

## DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)

Morgan Stanley &amp; Co., 1585 Broadway, New York, NY 10036 (New York County)

AON Corporation, 199 Water Street, 12th Floor, New York, NY 10038 (New York County)

John Doe Corporation One d/b/a Aon Hewitt, 199 Water Street, 12th Floor, New York, NY 10038 (NY)

UnitedHealth Group Incorporated, 1 Pennsylvania Plaza, New York, NY 10119 (NY)

John Doe Corporation Two d/b/a UnitedHealthCare, 1 Pennsylvania Plaza, New York, NY 10119 (NY)

## DEFENDANT(S) ADDRESS UNKNOWN

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

I have been unable to determine which specific corporate affiliate doing business under the registered tradenames UnitedHealthCare and Aon Hewitt are the entities engaged in the activities subject to the Complaint.

Check one: THIS ACTION SHOULD BE ASSIGNED TO: ☐ WHITE PLAINS ☒ MANHATTAN  
(DO NOT check either box if this a PRISONER PETITION/PRISONER CIVIL RIGHTS COMPLAINT.)

DATE SIGNATURE OF ATTORNEY OF RECORD

8/13/14 *Alan D. Sugarman*

RECEIPT #

ADMITTED TO PRACTICE IN THIS DISTRICT

☐ NO  
☒ YES (DATE ADMITTED Mo. 5 Yr. 1975)  
Attorney Bar Code # ADS-1209

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge \_\_\_\_\_ is so Designated.

Ruby J. Krajick, Clerk of Court by \_\_\_\_\_ Deputy Clerk, DATED \_\_\_\_\_

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)